

2161 2765

**TRANSMITTAL LETTER**  
**(General - Patent Pending)**

Docket No.  
N24-004

In Re Application Of: O'Shaughnessy et al

Serial No.  
09/624,330

Filing Date  
July 24, 2000

Examiner  
NA

Group Art Unit  
2761

Title: **SYSTEM AND METHOD FOR SELECTING AND PURCHASING STOCKS VIA A GLOBAL COMPUTER NETWORK**

**RECEIVED**

MAR 20 2001

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Technology Center 2100

Transmitted herewith is:

Transmittal Letter and Statement Accompanying Substitute Declaration, 1 letter; Substitute declaration pages 1,2,3, and 4; acknowledgment postcard.

in the above identified application.

- ☐ No additional fee is required.
- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. **05-0845** as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
- ☐ Credit any overpayment.
- ☒ Charge any additional fee required.

  
Signature

Dated: **March 12, 2001**

Gerry J. Elman, Reg. No. 24, 404  
Attorney for Applicants  
Elman & Associates  
Customer no. 003775

I certify that this document and fee is being deposited on **MARCH 12, 2001** with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

  
Signature of Person Mailing Correspondence

Gerry J. Elman

Typed or Printed Name of Person Mailing Correspondence

CC:



First Class Mail with Certificate of Mailing

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re U.S. Patent Application No.: **09/624,330**

Applicant(s): **O'Shaughnessy et al**

Title of application: **SYSTEM AND METHOD FOR SELECTING AND  
PURCHASING STOCKS VIA GLOBAL COMPUTER  
NETWORK**

Attorney Docket No: **N24-004**

Assistant Commissioner for Patents

Box Non Fee Response

Washington, D.C. 20231

**RECEIVED**

**MAR 20 2001**

**Transmittal Letter and Statement Accompanying Substitute Declaration**  
**Under M.P.E.P. 602.02**

Technology Center 2100

Sir:

Applicants submit herewith a substitute Declaration for the above-identified patent application. Page 2 of the original Declaration submitted on November 10, 2000, incorrectly identified the United States Patent Application document for which benefit of priority was intended to be claimed under 35 U.S.C. Section 120. The number was *incorrectly* stated as 09/433,351. The *correct* application number is 09/433,531, as was correctly shown on page 1, line 8 of the application as filed. Applicants aver that this typographical error involved no deceptive intent.

Respectfully submitted,

Gerry J. Elman  
Attorney for Applicant(s)  
Reg. No. 24,404  
ELMAN & ASSOCIATES  
Customer No. 003775

Date MARCH 13, 2001

Docket No.  
N24-004**Declaration and Power of Attorney For Patent Application****English Language Declaration****RECEIVED**

MAR 20 2001

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name, **Technology Center 2100**

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

**SYSTEM AND METHOD FOR SELECTING AND PURCHASING STOCKS VIA A GLOBAL COMPUTER NETWORK**

the specification of which

(check one)

☐ is attached hereto.

☒ was filed on July 24, 2000 as United States Application No. or PCT International Application Number 09/624,330

and was amended on \_\_\_\_\_

(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Not Claimed

_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/>
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/>
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/>



I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

_____ (Application Serial No.)	_____ (Filing Date)
_____ (Application Serial No.)	_____ (Filing Date)
_____ (Application Serial No.)	_____ (Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, C. F. R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

09/360,003 _____ (Application Serial No.)	July 23, 1999 _____ (Filing Date)	Pending _____ (Status) (patented, pending, abandoned)
09/433,531 _____ (Application Serial No.)	November 3, 1999 _____ (Filing Date)	Pending _____ (Status) (patented, pending, abandoned)
_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status) (patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

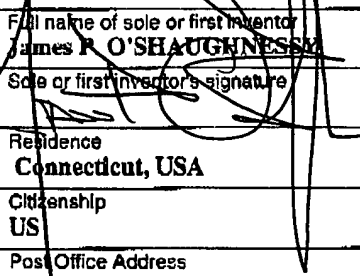
**POWER OF ATTORNEY:** As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. *(list name and registration number)*

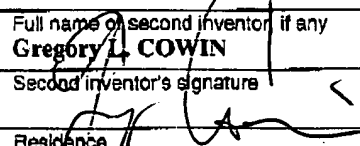
**All practitioners connected with customer no. 003775**

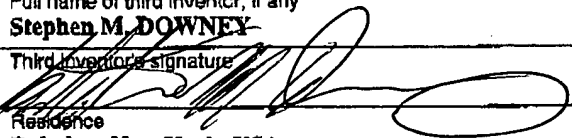
Send Correspondence to: **Customer No. 003775**

Direct Telephone Calls to: *(name and telephone number)*


**Customer no. 003775**


Full name of sole or first inventor <b>James P. O'SHAUGHNESSY</b>	
Sole or first inventor's signature 	Date <b>2/9/01</b>
Residence <b>Connecticut, USA</b>	
Citizenship <b>US</b>	
Post Office Address <b>c/o Netfolio Inc. 733 Third Avenue, 10th Floor,</b>	
<b>New York, NY 10017</b>	

Full name of second inventor, if any <b>Gregory L. COWIN</b>	
Second inventor's signature 	Date <b>2/9/01</b>
Residence <b>Trumbull, Connecticut, USA</b>	
Citizenship <b>US</b>	
Post Office Address <b>c/o Netfolio Inc. 733 Third Avenue, 10th Floor,</b>	
<b>New York, NY 10017</b>	

Full name of third inventor, if any <b>Stephen M. DOWNEY</b>	
Third inventor's signature 	Date 2/9/2001
Residence <b>Babylon, New York, USA</b>	
Citizenship <b>US</b>	
Post Office Address <b>c/o Netfolio Inc. 733 Third Avenue, 10th Floor,</b>	
<b>New York, NY 10017</b>	

RECEIVED  
MAR 20 2001  
Technology Center 2100

Full name of fourth inventor, if any <b>Gregory L. MCINTIRE</b>	
Fourth inventor's signature 	Date 2/9/2001
Residence <b>Stamford, Connecticut, USA</b>	
Citizenship <b>US</b>	
Post Office Address <b>c/o Netfolio Inc. 733 Third Avenue, 10th Floor,</b>	
<b>New York, NY 10017</b>	

Full name of fifth inventor, if any <b>Kevin P. TYSON</b>	
Fifth inventor's signature 	Date 2/15/2001
Residence <b>White Plains, New York, USA</b>	
Citizenship <b>US</b>	
Post Office Address <b>c/o Netfolio Inc. 733 Third Avenue, 10th Floor,</b>	
<b>New York, NY 10017</b>	

Full name of sixth inventor, if any	
Sixth inventor's signature	Date
Residence	
Citizenship	
Post Office Address	